

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
(Docket No. 12778US03)

In the Application of:

Saliba

Serial No.: 10/786,196

Filed: February 25, 2004

For: Method and Apparatus for Stock and Index
Option Price Improvement, Participation, and
Internalization

Examiner: Jagdish N. Patel

Group Art Unit: 3624

CERTIFICATE OF MAILING

I hereby certify that this correspondence is
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Alexandria, VA 22313-1450.

Joseph M. Butscher
Reg. No. 48,326

Date: September 9, 2004

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sirs:

Pursuant to 37 C.F.R. § 1.56, it is respectfully requested that the references listed on the
attached PTO form be considered in the examination of the above-identified patent application.

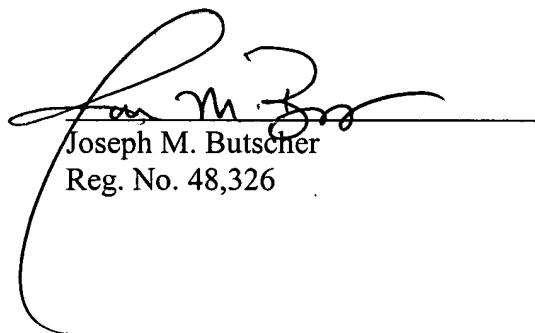
This submission, is in no way intended as an admission that the listed references
constitute prior art under any subsection of 35 U.S.C. § 102. Applicant expressly retains the
right to take any actions necessary to remove the references from the available prior art.

Consideration of the references in the examination of the present patent application is
respectfully requested.

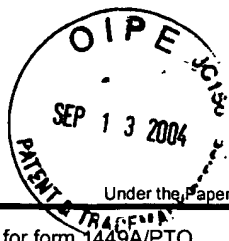
No fee is believed to be due because it is believed that this statement and enclosures are being filed before the first Office Action on the merits has been mailed by the PTO. Please charge any fees due in connection with this statement to the deposit account of McAndrews, Held & Malloy, Ltd., Account No. 13-0017.

Respectfully submitted,

Date: September 9, 2004



Joseph M. Butscher
Reg. No. 48,326



PTO/SB/08A (08-03)

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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 1 of 1

Complete if Known

Application Number	10/786,196
Filing Date	February 25, 2004
First Named Inventor	Saliba
Group Art Unit	3624
Examiner Name	Patel
Attorney Docket Number	12778US03

U.S. PATENT DOCUMENTS

Examiner Initial*	Cite No. ¹	Document Number Number-Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	A1	6,766,304	07-20-2004	Kemp, II et al.	
	A2	6,772,132	08-03-2004	Kemp, II et al.	
	A3	2003/0023542	01-30-2003	Kemp, II et al.	
	A4				
	A5				
	A6				
	A7				
	A8				
	A9				
	A10				
	A11				
	A12				

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
	A13					
	A14					
	A15					
	A16					
	A17					

OTHER ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published
	A18	
	A19	
	A20	
	A21	
	A22	

EXAMINER
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DATE CONSIDERED

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard St. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450 Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. Send TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Rev. Sept. 03

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